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| EXAMINER | |
|---|---|
| SANTOS, PATRICK J D | |

| ART UNIT | PAPER NUMBER |
|---|---|
| 2171 | |

DATE MAILED: 09/29/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

| Office Action Summary | Application No. | Applicant(s) | |
|---|---|---|---|
| | 10/084,824 | DWECK ET AL. | |
| | Examiner | Art Unit | |
| | Patrick J Santos | 2171 | |

*-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --*

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

1)☒ Responsive to communication(s) filed on *26 February 2002*.

2a)☐ This action is **FINAL**. 2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

4)☒ Claim(s) *1-35* is/are pending in the application.

4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-35* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

**Application Papers**

9)☐ The specification is objected to by the Examiner.

10)☒ The drawing(s) filed on *26 February 2002* is/are: a)☒ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____.

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

1) ☒ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date *1/13/03; 2/26/02*.
4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____ .
5) ☐ Notice of Informal Patent Application (PTO-152)
6) ☐ Other: _____.

## DETAILED ACTION

### *Claim Rejections - 35 USC § 102*

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

> A person shall be entitled to a patent unless –
>
> (b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

2. Claims 1-23, 25-26, and 28-35 are rejected under 35 U.S.C. 102(b) as being anticipated by the publication, "Design and Implementation of an Access Control Processor for XML Documents," by Damiani et al., published by Computer Networks, June 2000 (hereafter Damiani '00).

Claim 1:

Regarding Claim 1 Damiani '00 discloses: A method of facilitating access to documents (Damiani '00: p. 10, lns. 7-11), comprising:

- determining a document tag associated with a document (Damiani '00: p. 11, Section 5.2, item labeled, "Parsing." - Note that in this context parsing determines an XML tag in an XML document.);
- determining a content selection tag associated with a content reader (Damiani '00: p. 11, Section 5.2, item labeled, "Tree Labeling." - Note that in this context, tree labeling reads on content selection of an XML document.); and

- arranging for the content reader to receive information associated with the document based on the document tag, the content selection tag, and at least one entitlement rule (Damiani '00: p. 11, Section 5.2, item labeled "Tree Labeling." – Note that in this context, the access control rules in Damiani's XAS sheet read on entitlement rules. Further note that the sending final resulting pruned XML document (Damiani '00: p. 11, Section 5.2, last two lines, lns. 38-39) reads on arranging for a content reader to receive information based on the transformation.)

Claims 2-4, 6, 8, 13-21, and 25:

Regarding Claims 2-4, 6, 8, 13-21, and 25, Damiani '00 discloses all the limitations of Claim 1 (supra). Additionally, Damiani '00 discloses:

- (Claim 2) wherein an entitlement rule includes: an entitlement subject associated with a group of content readers (Damiani '00: p. 8, Section 3.2 titled, "Identifying Authorization Subjects" – Note that authorization subjects reads on content readers, and furthermore groupings, e.g. wild cards, and public, read on a group of content readers.)
- (Claim 3) wherein an entitlement rule includes an entitlement resource associated with at least one document (Damiani '00, pp. 8-9, Section 4 titled, "Authorization Enforcement" – Note that the authorization rules of Damiani '00 address document level and sub-document level access control, which reads on an entitlement resource associated with a document.)
- (Claim 4) wherein an entitlement rule includes an entitlement subject associated with a group of content readers (Damiani '00: p. 8, Section 3.2 titled, "Identifying Authorization Subjects"; an entitlement resource associated with at least one document

(Damiani '00, pp. 8-9, Section 4 titled, "Authorization Enforcement"); and an entitlement action associated with the entitlement subject and the entitlement resource (Damiani '00: p. 10, lns. 7-11; p. 11, Section 5.2 titled, "Execution Phases").

- (Claim 6) further comprising determining the entitlement rule (Damiani '00: p. 11, Section 5.2, item labeled, "Tree Labeling").
- (Claim 8) wherein an entitlement rule is associated with at least one entitlement tag (Damiani '00: p. 16, note the examples of the entitlement policies set at both the organization and department levels; further note that entitlement rules are associated with at least one tag).
- (Claim 13) wherein said arranging comprises transmitting an indication of the document to the content reader (Damiani '00: p. 17, Section 7, note item titled, "Document View").
- (Claim 14) wherein said arranging comprises transmitting the document to the content reader (Damiani '00: p. 17, Section 7, note item titled, "Document View").
- (Claim 15) wherein the document tag is determined by retrieving information from a database (Damiani '00, p. 2, lns. 24-42; p. 3, Fig. 1 – note the DTD data stores read on a database).
- (Claim 16) wherein the documents tag is determined by receiving information from a content publisher, via a graphical user interface (Damiani '00: p. 17, Fig. 8; p. 17, Section 7, note item titled, "Document View" – note Fig. 8 is illustrating a GUI based web browser that is rendering the XML tags.)
- (Claim 17). The method of claim 1, wherein the document tag comprises at least one of (i) a primary tag, and (ii) a secondary tag (Damiani '00: p. 15, Fig. 7 – note the example

XML document which illustrates document tags comprising at least one of a primary tag and a secondary tag).

- (Claim 18) wherein the content selection tag is determined by retrieving information from a database (Damiani '00, p. 2, lns. 24-42; p. 3, Fig. 1 – note the DTD data stores read on a database).
- (Claim 19) wherein content selection tag is determined by receiving information from the content reader via a graphical user interface (Damiani '00: p. 17, Fig. 8; p. 17, Section 7, note item titled, "Document View" – note Fig. 8 is illustrating a GUI based web browser that is rendering the XML tags.)
- (Claim 20) wherein said arranging is further based on a content reader tag (Damiani '00: p. 16, note example Department Policy, item 10 refers to "Bob" thus demonstrating a specific content reader tag).
- (Claim 21) wherein the document comprises content to be provided to a content reader device via a communication network (Damiani '00: Abstract – note the platform of the XAS processing includes communication networks.)
- (Claim 25) further comprising transmitting the document to the content reader (Damiani '00: p. 17, Fig. 8; p. 17, Section 7, note item titled, "Document View").

Claim 5:

Regarding Claim 5, Damiani '00 discloses all the limitations of Claim 4 (supra). Additionally, Damiani '00 discloses: wherein the entitlement action enables a content reader to perform at least one of the following actions:

(i) receive an indication of a document,

(ii) receive a document,

(iii) modify a document, and

(iv) delete a document (Damiani '00: p. 8, lns. 33-35).

Claim 7:

Regarding Claim 7, Damiani '00 discloses all the limitations of Claim 6 (supra). Additionally, Damiani '00 discloses: wherein said determining is based on information received from a content publisher (Damiani '00: pp. 9-10, Section 5 titled, "Design and Implementation Guidelines," first paragraph, and Fig. 4 – note the XAS is on the server side, thus is information from a content publisher).

Claims 9 and 12:

Regarding Claims 9 and 12, Damiani '00 discloses all the limitations of Claim 8 (supra). Additionally, Damiani '00 discloses:

- (Claim 9) wherein an entitlement tag is associated with at least one entitlement tag domain (Damiani '00: p. 16, note example policies, both of which illustrate setting entitlements specific to a DTD; furthermore, DTDs read on entitlement tag domains).
- (Claim 12) wherein the entitlement tag is associated with at least one of (i) a content reader category, (ii) a content reader region; and (iii) a document category (Damiani '00: p. 16, note both example policies refer to groups which reads on content reader categories).

Claims 10-11:

Regarding Claims 10-11, Damiani '00 discloses all the limitations of Claim 9 (supra). Additionally, Damiani '00 discloses:

- (Claim 10) wherein the entitlement tag domain comprises a single-rooted, hierarchical data structure (Damiani '00: p. 15, note example XML document based on a DTD; p. 16, note example policies, both of which illustrate setting entitlements specific to a DTD; furthermore, note that DTDs are single-rooted, hierarchical data structures).
- (Claim 11) wherein the entitlement tag domain comprises multilevel domain, and at least one domain level comprises a plurality of entitlement tags (Damiani '00: p. 15, note example XML document based on a DTD; p. 16, note example policies – note the application of a plurality of entitlement tags applies to the multilevel XML document).

Claims 22-23:

Regarding Claims 22-23, Damiani '00 discloses all the limitations of Claim 21 (supra). Additionally, Damiani '00 discloses:

- (Claim 22) wherein the communication network comprises at least one of:
  (i) the Internet,
  (ii) an intranet,
  (iii) a public network,
  (iv) a public switched telephone network,
  (v) a proprietary network,
  (vi) a wireless network, and
  (vii) a local area network (Damiani '00: Abstract – note the platform of the XAS processing includes the Internet and intranets).
- (Claim 23) wherein the document comprises at least one of
  (i) text content,

(ii) image content,

(iii) audio content, and

(iv) executable content (Damiani '00: p. 15, Fig. 7 – note the example document has text content).

Claim 26:

Regarding Claim 26, Damiani '00 discloses all the limitations of Claim 25 (supra). Additionally, Damiani '00 discloses: wherein said transmitting is performed via at least one of

(i) a content controller,

(ii) a content publisher,

(iii) a content reader,

(iv) a personal computer,

(v) a server,

(vi) a portable computing device,

(vii) a wireless telephone,

(viii) a Web site, and

(ix) an electronic mail message (Damiani '00: p. 3, Fig. 1 – note Damiani '00 is supported on web sites).

Claim 28:

Regarding Claim 28, Damiani '00 discloses: an apparatus (Damiani '00: p. 10, lns. 7-11), comprising:

- a processor (Damiano '00: p. 1, Section titled, "Introduction" – note reference to a Web Server which reads on a processor);

- and a storage device in communication with said processor and storing instructions adapted to be executed by said processor (Damiano '00: p. 1, Section titled, "Introduction" – note reference to a Web Server which reads on a storage device in communication with said processor) to:
    - o determine a document tag associated with a document (Damiani '00: p. 11, Section 5.2, item labeled, "Parsing." - Note that in this context parsing determines an XML tag in an XML document), determine a content selection tag associated with a content reader (Damiani '00: p. 11, Section 5.2, item labeled, "Tree Labeling." - Note that in this context, tree labeling reads on content selection of an XML document), and arrange for the content reader to receive information associated with the document based on the document tag, the content selection tag, and at least one entitlement rule (Damiani '00: p. 11, Section 5.2, item labeled "Tree Labeling." – Note that in this context, the access control rules in Damiani's XAS sheet read on entitlement rules. Further note that the sending final resulting pruned XML document (Damiani '00: p. 11, Section 5.2, last two lines, lns. 38-39) reads on arranging for a content reader to receive information based on the transformation).

Claims 29-30:

Regarding Claim 27, Damiani '00 discloses all the limitations of Claim 28 (supra). Additionally, Damiani '00 discloses:

- (Claim 29) wherein said storage device further stores at least one of:
    (i) a document database,

(ii) a content reader database,

(iii) an entitlement rule database, and

(iv) an output database (Damiani '00, p. 2, lns. 24-42; p. 3, Fig. 1 – note the DTD data stores read on a database).

- (Claim 30) further comprising: a communication device coupled to said processor and adapted to communicate with at least one of:

(i) a content publishing device,

(ii) a document storage device,

(iii) a content controller,

(iv) a content reader device, and

(v) a payment device (Damiani '00: p. 17, Fig. 8; p. 17, Section 7, note item titled, "Document View" – note Fig. 8 is illustrating a GUI based web browser that is rendering the XML tags; a web browser reads on a content reader device).

Claim 31:

Regarding Claim 31, Damiani '00 discloses: medium storing instructions adapted to be executed by a processor (Damiano '00: p. 1, Section titled, "Introduction" – note reference to a Web Server which reads on instructions to be executed by a processor) to perform a method of facilitating access to documents (Damiani '00: p. 10, lns. 7-11), said method comprising:

- determining a document tag associated with a document (Damiani '00: p. 11, Section 5.2, item labeled, "Parsing." - Note that in this context parsing determines an XML tag in an XML document);

- determining a content selection tag associated with a content reader (Damiani '00: p. 11, Section 5.2, item labeled, "Tree Labeling." - Note that in this context, tree labeling reads on content selection of an XML document); and
- arranging for the content reader to receive information associated with the document based on the document tag, the content selection tag, and at least one entitlement rule (Damiani '00: p. 11, Section 5.2, item labeled "Tree Labeling." – Note that in this context, the access control rules in Damiani's XAS sheet read on entitlement rules. Further note that the sending final resulting pruned XML document (Damiani '00: p. 11, Section 5.2, last two lines, lns. 38-39) reads on arranging for a content reader to receive information based on the transformation).

Claim 32:

Regarding Claim 32, Damiani '00 discloses: a method of facilitating access to documents (Damiani '00: p. 10, lns. 7-11), comprising:

- receiving a document from a content publisher (Damiani '00: p. 11, Section 5.2, item labeled, "Parsing." - Note that the XAS method of Damiani receives XML documents prior to processing);
- determining a document tag associated with the document (Damiani '00: p. 11, Section 5.2, item labeled, "Parsing." - Note that in this context parsing determines an XML tag in an XML document); and
- determining an entitlement rule associated with the document (Damiani '00: p. 11, Section 5.2, item labeled "Tree Labeling." – Note that in this context, the access control rules in Damiani's XAS sheet read on entitlement rules).

Claims 33-34:

Regarding Claims 33-34, Damiani '00 discloses all the limitations of Claim 32 (supra). Additionally, Damiani '00 discloses:

- (Claim 33) wherein said determining comprises: receiving from the content publisher an indication of the entitlement rule (Damiani '00: pp. 9-10, Section 5 titled, "Design and Implementation Guidelines," first paragraph, and Fig. 4 – note the XAS is on the server side, thus is information from a content publisher).
- (Claim 34) wherein said determining comprises: automatically determining the entitlement rule based on at least one of:

  (i) the content publisher,

  (ii) a document tag associated with the document, and

  (iii) a content of the document (Damiano '00: p. 16, note the example policies demonstrate entitlement rules based on XML tags as defined by the DTD).

Claim 35:

Regarding Claim 35, Damiani '00 discloses: a method of facilitating access to documents (Damiani '00: p. 10, lns. 7-11), comprising:

- determining a document tag associated with a document (Damiani '00: p. 11, Section 5.2, item labeled, "Parsing." - Note that in this context parsing determines an XML tag in an XML document);
- determining a content reader tag associated with a content reader (Damiani '00: p. 11, Section 5.2, item labeled, "Tree Labeling." - Note that in this context, tree labeling reads on content selection of an XML document); and

- arranging for the content reader to receive information associated with the document based on the document tag, the content reader tag, and at least one entitlement rule (Damiani '00: p. 11, Section 5.2, item labeled "Tree Labeling." – Note that in this context, the access control rules in Damiani's XAS sheet read on entitlement rules. Further note that the sending final resulting pruned XML document (Damiani '00: p. 11, Section 5.2, last two lines, lns. 38-39) reads on arranging for a content reader to receive information based on the transformation).

***Claim Rejections - 35 USC § 103***

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

4. Claim 24 is rejected under 35 U.S.C. 103(a) as being unpatentable over Damiani '00 in view of the publication, "RIXML Specification User's Guide and Data Dictionary Report," published by RIXML, June 20, 2001 (hereafter RIXML '01).

Claim 24:

Regarding Claim 24, Damiani '00 discloses all the limitations of Claim 21 (supra) However, Damiani '00 does not explicitly disclose, wherein the content comprises at least one of

(i) financial information,

(ii) financial news,

(iii) information about financial events,

(iv) investment information, and

(v) market information.

RIXML '01 discloses one of many financial information XML schemas used to provide structured data regarding investment research. Specifically, RIXML '01 discloses: wherein the content comprises at least one of

(i) financial information,

(ii) financial news,

(iii) information about financial events,

(iv) investment information, and

(v) market information (RIXML '01: p. 5, Section titled, "Overview"; p. 6, Item titled, "RIXML Schema" – note that among other things, RIXML supports investment information.)

It would have been obvious to a person having ordinary skill in the art to apply the financial data of RIXML '01 to the XAS infrastructure of Damiani '00. The motivation to combine is suggested by Damiani '00 which discloses that application of the XAS infrastructure of Damiani '00 provides a particularly "simple and effective way" (Damiani '00: Abstract) to provide access control to XML documents, such as that of RIXML '01.

Claim 27:

Regarding Claim 27, Damiani '00 discloses: a computer-implemented method of facilitating access to documents (Damiani '00: p. 10, lns. 7-11), comprising:

- determining a document tag associated with an investment research document (Damiani '00: p. 11, Section 5.2, item labeled, "Parsing." - Note that in this context parsing determines an XML tag in an XML document);
- determining a content selection tag associated with a content reader (Damiani '00: p. 11, Section 5.2, item labeled, "Tree Labeling." - Note that in this context, tree labeling reads on content selection of an XML document);
- determining an entitlement tag associated with at least one of the investment research document, the document tag, the content reader, and a content reader tag (Damiani '00: p. 11, Section 5.2, item labeled "Tree Labeling." – Note that in this context, the access control rules in Damiani's XAS sheet read on entitlement rules. Further note that the sending final resulting pruned XML document (Damiani '00: p. 11, Section 5.2, last two lines, lns. 38-39) reads on arranging for a content reader to receive information based on the transformation); and
- transmitting the investment research document to the content reader via a communication network in accordance with the entitlement tag (Damiani '00: p. 17, Section 7, note item titled, "Document View").

However, Damiano '00 does not explicitly disclose that the documents are investment research documents.

RIXML '01 discloses one of many financial information XML schemas used to provide structured data regarding investment research. Specifically, RIXML '01 discloses investment research documents (RIXML '01: p. 5, Section titled, "Overview"; p. 6, Item titled, "RIXML Schema").

It would have been obvious to a person having ordinary skill in the art to apply the investment research documents of RIXML '01 to the XAS infrastructure of Damiani '00. The motivation to combine is on the same basis as Claim 24 (supra).

***Conclusion***

5. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Patrick J.D. Santos whose telephone number is 703-305-0707. The examiner can normally be reached on M-F 8:00-4:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Safet Metjahic can be reached on 703-308-1436. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Patrick J.D. Santos
September 24, 2004

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